



06-1801

PTO/SB/29 (10-00)

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**CONTINUED PROSECUTION APPLICATION (CPA)
REQUEST TRANSMITTAL**Submit an original, and a duplicate for fee processing.
(Only for Continuation or Divisional applications under 37 CFR 1.53(d))CHECK BOX, if applicable:
☐ DUPLICATEAddress to: Assistant Commissioner for Patents
Box CPA
Washington, D. C. 20231

RECEIVED

Attorney Docket No. of Prior Application 074451.P090

First Named Inventor John F. Cullen, et al.

Examiner Name C. Huynh

Group Art Unit 2776

Express Mail Label No. EL672750637US

JUN 21 2001

Group 2 00

This is a request for a ☒ continuation or ☐ divisional under 37 CFR 1.53(d)

(continuation prosecution application (CPA)) of prior application No: 09/163,848

filed on September 30, 1998, entitled AUTOMATIC DOCUMENT CLASSIFICATION USING TEXT
AND IMAGESIf the Patent and Trademark Office determines that this request under 37 CFR 1.53(d) is improper, the Office is requested
to treat this CPA as a request for continued examination of the above identified application under 37 CFR 1.114.**NOTES****FILING QUALIFICATIONS:** The prior application identified above must be a nonprovisional application that is either: (1) complete as defined by 37 CFR 1.51(b), or (2) the national stage of an international application in compliance with 35 U.S.C. 371. Effective May 29, 2000, a CPA may only be filed in a utility or a plant application if the prior nonprovisional application was filed before May 29, 2000. A CPA may be filed in a design application regardless of the filing date of the prior application. See "Request for Continued Examination Practice changes to and Provisional Application practice," Final rule, 65 Fed. Reg. 50092 (Aug. 16, 2000); Interim rule, 65 Fed. Reg. 14865 (Mar. 20, 2000), 1233 Off. Gaz. Pat. office (Apr. 11, 2000).**C-I-P NOT PERMITTED:** A continuation-in-part application cannot be filed as a CPA under 37 CFR 1.53(d), but must be filed under 37 CFR 1.53(b).**EXPRESS ABANDONMENT OF PRIOR APPLICATION:** The filing of this CPA is a request to expressly abandon the prior application as of the filing date of the request for a CPA. 37 CFR 1.53(b) must be used to file a continuation, divisional, or continuation-in-part of an application that is not to be abandoned.**ACCESS TO PRIOR APPLICATION:** The filing of this CPA will be construed to include a waiver of confidentiality by the applicant under 35 U.S.C. 122 to the extent that any member of the public who is entitled under the provisions of 37 CFR 1.14 to access to, copies of, or information concerning, the prior application may be given similar access to, copies of, or similar information concerning, the other application or applications in the file jacket.**35 U.S.C. 120 STATEMENT:** In a CPA, no reference to the prior application is needed in the first sentence of the specification and none should be submitted. If a sentence referencing the prior application is submitted, it will not be entered. A request for a CPA is the specific reference required by 35 U.S.C. 120 and to every application assigned the application number identified in such request, 37 CFR 1.78(a).**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

1. ☐ Enter the unentered amendment previously filed on _____
under 37 CFR 1.116 in the prior nonprovisional application.
2. ☒ A preliminary amendment is enclosed.
3. ☐ This application is filed by fewer than all the inventors named in the prior application, 37 CFR 1.53(d)(4).
☐ a. **DELETE** the following inventor(s) named in the prior nonprovisional application:

☐ b. The inventor(s) to be deleted are set forth on a separate sheet attached hereto.
4. ☐ A new power of attorney or authorization of agent (PTO/SB/81) is enclosed.
5. ☐ Information Disclosure Statement (IDS) is enclosed:

- a. ☐ PTO - 1449
- b. ☐ Copies of IDS Citations

06/19/2001 SSITHIB1 00000025 09163848

01 FC:131
02 FC:103
03 FC:102710.00 OP
216.00 OP
240.00 OP

CLAIMS

(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) CALCULATIONS
Total Claims (37 CFR 1.16(c) or (j))	<u>32</u> - <u>20*</u> =	<u>12</u>	X \$ <u>18</u> =	\$ <u>216.00</u>
Independent Claims (37 CFR 1.16(b) or (j))	<u>6</u> - <u>3**</u> =	<u>3</u>	X \$ <u>80</u> =	\$ <u>240.00</u>
Multiple Dependent Claims (if applicable) (37 CFR 1.16(d))			+ \$ _____ =	\$ _____
			BASIC FEE (37 CFR 1.16(a))	\$ <u>710.00</u>

Total of above Calculations = \$ 1166.00
Reduction by 50% for filing by small entity (Note 37 CFR 1.27). \$ _____

* Reissue claims in excess of 20 and over original patent.

** Reissue independent claims over original patent.

TOTAL = \$ 1166.00

6. Small entity status: Applicant claims small entity status. See 37 CFR 1.27.
7. X The Commissioner is hereby authorized to credit overpayments or charge the following fees to Deposit Account No. 02-2666.
- a. X Fees required under 37 CFR 1.16.
- b. x Fees required under 37 CFR 1.17.
- c. Fees required under 37 CFR 1.18.
8. X A check in the amount of \$ 1166.00 is enclosed.
9. Payment by credit card. Form PTO-2038 is attached.
10. Applicant requests suspension of action under 37 CFR 1.103(b) for a period of _____ months (not to exceed 3 months) and the fee under 37 CFR 1.17(i) is enclosed.
11. New Attorney Docket Number, if desired _____
(Prior application Attorney Docket Number will carryover to this CPA unless a new Attorney Docket Number has been provided herein.)
12. a. Receipt for Facsimile Transmitted CPA (PTO/SB/29A)
- b. Return Receipt Postcard (Should be specially itemized, See MPEP 503)
13. **Request and Certification Under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. (Reminder: First investigate foreign filing question).**
14. X Other: post card and Certificate of Express Mail with copy of post card showing contents of Express Mail package

NOTE: The prior application's correspondence address will carry over to this CPA UNLESS a new correspondence address is provided below.

14. NEW CORRESPONDENCE ADDRESS

 X Customer Number or Bar Code Label 008791
OR
(Inset Customer No. or Attach Bar Code Label here)

New Correspondence Address Below

NAME _____

ADDRESS _____

CITY _____ STATE _____ ZIP CODE _____

COUNTRY _____ TELEPHONE _____ FAX _____

15. SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

NAME Marina Portnova SIGNATURE M. Portnova

REGISTRATION NO. 45,750 DATE June 14, 2001



"Express Mail" mailing label number EL672750637US

Date of Deposit: June 14, 2001

I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231

Michelle Begay

(Typed or printed name of person mailing paper or fee)

Michelle Begay June 14, 2001
(Signature of person mailing paper or fee) Date

Serial/Patent No.: 09/163,848 Filing/Issue Date: September 30, 1998
Client: Richoh Corporation
Title: AUTOMATIC DOCUMENT CLASSIFICATION USING TEXT IMAGES

BSTZ File No.: 074451.P090 Atty/Secty. Initials: MJM/MP/mb
Date Mailed: June 14, 2001 Docket Due Date: June 14, 2001

The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

- | | | |
|------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------|------------------------------------------------------------|
| <input checked="" type="checkbox"/> Amendment/Response (22 pgs.) | <input checked="" type="checkbox"/> Express Mail No.: <u>EL672750637US</u> | <input checked="" type="checkbox"/> Check No. <u>43484</u> |
| <input type="checkbox"/> Appeal Brief (____ pgs.) (in triplicate) | <input type="checkbox"/> _____ Month(s) Extension of Time | Amt. <u>\$1166.00</u> |
| <input type="checkbox"/> Application - Utility (____ pgs., with cover and abstract) | <input type="checkbox"/> Information Disclosure Statement & PTO 449 (____ pgs.) | <input type="checkbox"/> Check No. _____ |
| <input type="checkbox"/> Application - Rule 1.53(b) Continuation (____ pgs.) | <input type="checkbox"/> Issue Fee Transmittal | Amt. _____ |
| <input type="checkbox"/> Application - Rule 1.53(b) Divisional (____ pgs.) | <input type="checkbox"/> Notice of Appeal | |
| <input type="checkbox"/> Application - Rule 1.53(b) CIP (____ pgs.) | <input type="checkbox"/> Petition for Extension of Time | |
| <input checked="" type="checkbox"/> Application - Rule 1.53(d) CPA Transmittal (2 pgs.) | <input type="checkbox"/> Petition for _____ | |
| <input type="checkbox"/> Application - Design (____ pgs.) | <input type="checkbox"/> Postcard | |
| <input type="checkbox"/> Application - PCT (____ pgs.) | <input type="checkbox"/> Power of Attorney (____ pgs.) | |
| <input type="checkbox"/> Application - Provisional (____ pgs.) | <input type="checkbox"/> Preliminary Amendment (____ pgs.) | |
| <input type="checkbox"/> Assignment and Cover Sheet | <input type="checkbox"/> Reply Brief (____ pgs.) | |
| <input type="checkbox"/> Certificate of Mailing | <input type="checkbox"/> Response to Notice of Missing Parts | |
| <input type="checkbox"/> Declaration & POA (____ pgs.) | <input type="checkbox"/> Small Entity Declaration for Indep. Inventor/Small Business | |
| <input type="checkbox"/> Disclosure Docs & Orig & Copy of Inventor's Signed Letter (____ pgs.) | <input type="checkbox"/> Transmittal Letter, in duplicate | |
| <input type="checkbox"/> Drawings: _____ # of sheets includes _____ figures | <input type="checkbox"/> Fee Transmittal, in duplicate | |

☒ Other: Certificate of Express Mail with copy of postcard showing contents of Express Mail package.

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6-22-01

074451.P090

Patent



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

John F. Cullen, et al.

Serial No.: 09/163,848

Filed: September 30, 1998

For: AUTOMATIC DOCUMENT
CLASSIFICATION USING TEXT
AND IMAGES

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) Art Unit: 2776
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) Examiner: C. Huynh
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PRELIMINARY AMENDMENT

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

In response to the Final Office Action mailed March 14, 2001, Applicant respectfully requests the Examiner to enter the following amendments and consider the following remarks:

FIRST CLASS CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

on JUNE 14, 2001
Date of Deposit

Michelle Begay
Name of Person Mailing Correspondence

Michelle Begay JUNE 14, 2001
Signature Date